
Chapter 03: Records Common to Most Organizational Areas

Automated Data Processing**A030101 Reserved for future use****Description:****Disposition:****DispAuthNo:**

A030102 Finding Aids (or indexes)

Description: Indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction. Excludes records containing abstracts or other information that can be used as an informational source apart from the related records.

Disposition: Destroy or delete with the related records or sooner if no longer needed.

DispAuthNo: GRS-23, item 9

Budget Services and Financial Systems**A030201 Budget Estimates and Justifications**

Description: Budget estimates and justifications prepared or consolidated by bureaus and their subordinate organizational units.

Disposition: Destroy 3 years after close of fiscal year covered.

DispAuthNo: NC1-59-77-26, item 9

A030202 Budget Background Records

Description: Cost statements, rough data and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices.

Disposition: Destroy 1 year after the close of the fiscal year covered by the budget.

DispAuthNo: GRS 5, item 2

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Diplomatic Pouch and Mail**A030301a Mail Registration and Receipts**

Description: a. Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, and special delivery mail including receipts and return receipts. Included are Forms DS-454, Receipt for Registered Mail, and DS-712, Registered Mail Invoice.

Disposition: Destroy when 1 year old.

DispAuthNo: GRS 12, item 5a

A030301b Mail Registration and Receipts

Description: b. Records relating to the registration of diplomatic mail. Includes OF-120, Diplomatic Pouch Mail Registration.

Disposition: Block annually. Destroy when 2 years old.

DispAuthNo: II-NNA-3047, item 1

A030302 Messenger Service Files

Description: Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.

Disposition: Destroy when 2 months old.

DispAuthNo: GRS 12, item 1

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Financial Management**A030401 Reimbursement of Emergency Storage Costs**

Description: Communications with Foreign Service personnel regarding reimbursement of emergency storage costs for household effects.

Disposition: Block annually. Destroy when 3 years old.

DispAuthNo: NC1-59-77-26, item 14

A030402 Financial Plans

Description: Financial plans and related worksheets, reports and communications.

Disposition: Destroy 3 years after close of fiscal year in which prepared.

DispAuthNo: NC1-59-77-26, item 11

A030403 Appropriation Allotment Files

Description: Allotment records showing status of obligations and allotments under each authorized appropriation.

Disposition: Destroy 6 years and 3 months after the close the fiscal year involved.

DispAuthNo: GRS 7, item 3

A030404 Expenditure Accounting Posting and Control Files

Description: Records such as distribution ledgers, registers of interoffice transfers, expenditure voucher file, liquidation memorandums and other series of posting and control media, subsidiary to the allotment ledgers, and not otherwise provided for in this schedule. Included are related communications, reports, tabulations and worksheets.

Disposition: Destroy when 3 years old.

DispAuthNo: GRS 7, item 4a

A030405 Allotment Reports

Description: Monthly reports of allottees, showing current and cumulative to date transactions as reflected in their distribution ledgers. Included are related communications and worksheets.

Disposition: Destroy 4 years after close of fiscal year prepared.

DispAuthNo: NC1-59-77-26, item 12

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A030406a(1) Routine Procurement and Contract Files-Contracts, requisitions, purchase orders, leases, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment

Description: a. Original Contracts.

(1) Transactions of more than \$25,000 and all construction contracts exceeding \$2,000.

Disposition: Destroy 6 years and 3 months after final payment.

DispAuthNo: GRS 3, item 3a(1)

A030406a(2) Routine Procurement and Contract Files-Contracts, requisitions, purchase orders, leases, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment

Description: a. Original Contracts.

(2) Transactions of \$25,000 or less and construction contracts under \$2,000.

Disposition: Destroy 3 years after final payment.

DispAuthNo: GRS 3, item 3a(2)

A030406b Routine Procurement and Contract Files-Contracts, requisitions, purchase orders, leases, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment

Description: b. Other copies.

Disposition: Destroy upon termination or completion.

DispAuthNo: GRS 3, item 3c

A030407 International Merchant Purchase Authorization Card (I.M.P.A.C.) Files - Arranged by fiscal year

Description: Copies of monthly credit card statements, receipts, and related documentation.
NOTE: Signed original of Monthly Credit Card Statement is maintained by the Office of Finance for 6 years and 3 months.

Disposition: Destroy after GAO audit or when 3 years old, whichever is sooner.

DispAuthNo: N1-59-96-29, item 1

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National Foreign Affairs Training Center**A030501 Training Records**

Description: Consists of DS-755, Request for Training, Authorization, Agreements, and Certification of Training, course descriptions, and related records. Records developed and used for training presentations are identified in appropriate program chapters.

Disposition: Block annually. Destroy when 2 years old or when no longer needed, whichever is sooner.

DispAuthNo: GRS 23, item 1

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Information Management Services**A030601 Tracking and Control Records**

Description: Logs, registers, and other records used to control or document the status of correspondence, reports, and other records authorized for destruction. Included are correspondence control forms, routing slips, job control records and other similar records used solely to control work flow.

Disposition: Destroy or delete when no longer needed.

DispAuthNo: GRS-23, item 8

A030602a Daily Activity Records-Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities while serving in an official capacity

Description: a. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, excluding records relating to official activities of high level officials.

Disposition: Destroy or delete when 2 years old.

DispAuthNo: GRS 23, item 5a

A030602b Daily Activity Records-Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities while serving in an official capacity

Description: b. Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into official files, excluding records relating to official activities of high level officials.

Disposition: Destroy or delete when no longer needed.

DispAuthNo: GRS 23, item 5b

A030603a Suspense Records-Documents arranged in chronological order as a reminder that action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.

Description: a. Notes or reminders to take some other action.

Disposition: Destroy or delete after action is taken.

DispAuthNo: GRS 23, item 6a

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A030603b(1) Suspense Records-Documents arranged in chronological order as a reminder that action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date

Description: b. File copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected. Withdraw documents when reply is received.

(1) If suspense copy is an extra copy.

Disposition: Destroy immediately.

DispAuthNo: GRS 23, item 6b(1)

A030603b(2) Suspense Records-Documents arranged in chronological order as a reminder that action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date

Description: b. File copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected. Withdraw documents when reply is received.

(2) If suspense copy is the file copy.

Disposition: Incorporate into official files.

DispAuthNo: GRS 23, item 6b(2)

A030604 Records Management

Description: Routine correspondence, memoranda, reports, forms and other documents dealing with the disposition of records or review of the records management activities of the office. Included are copies of DS-693B, Retirement of Records; NA Form 13001, Notice of Intent to Destroy Records, etc.

Disposition: Destroy when no longer needed for reference.

DispAuthNo: GRS 16, item 2b

Allowances

A030701 Separation Allowance Records

Description: Copies of SF-1190, Foreign Allowances Application Grant, and Report for the payment of Foreign Service separation allowances, copies of separation allowance grants, reports of quarters expenses, and related records.

Disposition: Block annually. Destroy when 3 years old.

DispAuthNo: NC1-59-77-26, item 7

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Management Operations**A030801 Letters of Transmittal**

Description: Originating office copies of letters of transmittal that do not add any information to that contained in the transmittal material and receiving office copy if filed separately from transmittal material. Excludes classified material covered in Section 10.

Disposition: Destroy when 3 months old or when no longer needed, whichever is sooner.

DispAuthNo: GRS 23, item 7b

A030802 Requests for Information

Description: Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply.

Disposition: Destroy when 3 months old or when no longer needed, whichever is sooner.

DispAuthNo: GRS 23, item 7a

A030803 Technical/Reference Publications

Description: Copies of Departmental publications, releases, circulars, publications of other Government agencies, legislative publications and documents, post reports, speeches given by Department and other Government agency officials, and related documents.

Disposition: Review annually and destroy material of no further reference value.

DispAuthNo: NR

A030804 Reserved for future use

Description:

Disposition:

DispAuthNo:

A030805 Post Administrative Operations File

Description: Communications with Foreign Service posts regarding post administrative procedures, supplies, equipment, fiscal operations, personnel quarters, buildings, records, commissary, and other administrative matters.

Disposition: Destroy 5 years after close of year in which prepared or when no longer needed, whichever is sooner.

DispAuthNo: NC1-59-77-26, item 1

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Personnel Administration**A030901a Duplicate Personnel Files**

Description: a. Supervisor's Personnel Files - Correspondence, memoranda, forms, and other records relating to positions, authorizations, pending actions; copies of position authorizations, pending actions; copies of positions descriptions, and records on individual employees duplicated in or not appropriate for the Official Personnel Folder.

Disposition: Review annually and destroy superseded or obsolete documents; or destroy file relating to an employee within 1 year after separation or transfer.

DispAuthNo: GRS 1, Item 18a

A030901b Duplicate Personnel Files

Description: b. Duplicate Documentation - Other copies of documents duplicated in Official Personnel Folders.

Disposition: Destroy when 6 months old.

DispAuthNo: GRS 1, item 18b

A030902 Bureau Work/Study Program Employee Files

Description: Copies of request and official notification for DS clearance and SF-171, evaluation reports, correspondence with individual prior to hiring, transcript of grades received, letter of recommendation for the work/study program, and statement of number of college credits earned in the program.

Disposition: Destroy 2 years after separation of employee.

DispAuthNo: NC1-59-77-15

A030903 Staffing and Complement Files

Description: Reports, memorandums, communications, lists and worksheets regarding the staffing of offices or Foreign Service posts, requested changes or adjustments in staffing, and matters relating to individual employees.

Disposition: Destroy 5 years after close of fiscal year in which compiled.

DispAuthNo: NC1-59-77-26, item 2

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A030904a Time and Attendance Source Records

Description: All time and attendance records upon which leave input data is based, such as sign-in sheets; DS-1194, Time and Attendance Reports; JF-56, Authorization of Premium Compensation; DS-1734M, Tatel/PC (draft and final report); DS-1216, Leave Statements; flexitime records, and leave applications for jury and military duty. Records may be in either electronic or paper form.

a. Originating Office.

Disposition: Block files annually. Retire yearly accumulations of one box or more to RSC when no longer needed for transfer to WNRC. Destroy after GAO audit or when 6 years old, whichever is sooner.

DispAuthNo: GRS 2, item 7

A030904b Time and Attendance Source Records

Description: All time and attendance records upon which leave input data is based, such as sign-in sheets; DS-1194, Time and Attendance Reports; JF-56, Authorization of Premium Compensation; DS-1734M, Tatel/PC (draft and final report); DS-1216, Leave Statements; flexitime records, and leave applications for jury and military duty. Records may be in either electronic or paper form.

b. All Other Offices Copies.

Disposition: Destroy when no longer needed, or when 2 years old, whichever is sooner.

DispAuthNo: GRS 23, item 1

A030905a Leave Slips-Application for Leave, SF 71, or requests for and approvals of leave

Description: a. If timecard or TATEL DS-1734M draft has been initialed by employee.

Disposition: Destroy leave slip at end of following pay period.

DispAuthNo: GRS 2, item 6a

A030905b Leave Slips-Application for Leave, SF 71, or requests for and approvals of leave

Description: b. If timecard or TATEL draft has not been initialed by employee.

Disposition: Destroy leave slip after GAO audit or when 3 years old, whichever is sooner.

DispAuthNo: GRS 2, item 6b

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Security**A031001 General Security and Safety Correspondence File**

Description: Documents pertaining to general security and safety within an office, such as copies of security survey and inspection reports, including those maintained by the Bureau of Diplomatic Security. Includes OF-117, Notice of Security Violations, copies of security violation reports, OF-118, Records of Violation and related documents.

Disposition: Block annually. Destroy when 2 years old.

DispAuthNo: GRS 18, item 1

A031002a Top Secret Accounting and Control Files

Description: a. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents. Includes OF-123, Top Secret Document Inventory Record, and OF-119, Record of Material Removed for Overnight Custody.

Disposition: Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed.

DispAuthNo: GRS 18, item 5a

A031002b Top Secret Accounting and Control Files

Description: b. Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data. Includes OF-115, Top Secret Cover Sheet, and OF-112, Classified Material Receipt.

Disposition: Destroy when related document is downgraded, transferred, or destroyed.

DispAuthNo: GRS 18, item 5b

A031003 Classified Document Inventory Files

Description: Forms, ledgers, or registers used to show identity, internal routing, and final disposition of classified documents, but exclusive of classified documents and receipts relating to Top Secret material identified elsewhere. Includes OF-124, Classified Cover Sheet and OF-119, Record of Material Removed for Overnight Custody.

Disposition: Destroy when 2 years old.

DispAuthNo: GRS 18, item 4

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A031004 Destruction Certificates Files

Description: Certificates relating to the destruction of classified documents.

Disposition: Destroy when 2 years old.

DispAuthNo: GRS 18, item 3

A031005a Classified Document Container Security Files

Description: a. Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers. Includes OF-62, Safe or Cabinet Security Record, OF-63, Security Container Information, and OF-111, Combination Safe Card.

Disposition: Destroy when superseded by a new form or list, or upon turn in of containers.

DispAuthNo: GRS 18, item 7a

A031005b Classified Document Container Security Files

Description: b. Forms placed on safes, cabinets, or vaults containing security classified documents that record opening, closing, and routine checking of the security of the container, such as locking doors and windows, and activating alarms. Included are such forms as SF-701, Activity Security Checklist, and SF-702, Security Container Check Sheet.

Disposition: Destroy 3 months following the last entry on the form. NOTE: Forms involved in investigations will be retained until completion of the investigation.

DispAuthNo: GRS 18, item 7b

A031006 Access Request Files

Description: Requests and authorizations for individuals to have access to classified files.

Disposition: Destroy 2 years after authorization expires.

DispAuthNo: GRS 18, item 6

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Supplies and Equipment**A031101 Supplies, Services and Equipment (General)**

Description: Records relating to the ordering of supplies, requests for office services and equipment requests and receipts. Included are OF-263, OF-263A, DS-1089 and 1089A, Requisition for Equipment, Supplies, Furniture, Furnishings or Services; DS 5R, Requisition for Publishing, Reproduction, and Distribution Services and related documents.

Disposition: Block annually. Destroy when 2 years old or when no longer needed, whichever is sooner.

DispAuthNo: GRS 23, item 1

A031102 Property Receipt Records

Description: Consists of OF-130, Personal Custody Property Receipt, for property items loaned to individuals for their use and related documents.

Disposition: Destroy original when property returned. Destroy copies when operational purposes have been served.

DispAuthNo: II-NN-3250, item 57

A031103a Property Survey Records-Consists of copies of DS-310, Property Survey Report (Domestic) and related documents. Report provides property accountability for all office equipment and furniture.

Description: a. Supply Branch copy.

Disposition: Destroy 10 years after disposal of equipment.

DispAuthNo: II-NN-3250, item 58a

A031103b Property Survey Records-Consists of copies of DS 310, Property Survey Report (Domestic) and related documents. Report provides property accountability for all office equipment and furniture.

Description: b. Office copy.

Disposition: Destroy upon completion of new inventory.

DispAuthNo: II-NN-3250, item 58b

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Travel**A031201 Travel Files**

Description: Records relating to routine and operational aspects of travel and visits by other than prominent individuals and congressmen. Included are travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting documents.

Disposition: Block annually. Destroy when 2 years old.

DispAuthNo: GRS 9, item 4a
